

2121

# TRANSMITTAL FORM

Attorney Docket No.  
**2200P**

Re the application: **Jenkin A. RICHARD et al.**

Serial No: **09/916,624**

Group Art Unit: **2121**

Filed: **July 27, 2001**

Examiner: **To Be Assigned**

For: **Optical Alignment System and Method**

ENCLOSURES (check all that apply)					
<input type="checkbox"/>	Amendment/Reply	<input type="checkbox"/>	Assignment and Recordation Cover Sheet	<input type="checkbox"/>	After Allowance Communication to Group
<input type="checkbox"/>	After Final	<input type="checkbox"/>	Part B-Issue Fee Transmittal	<input type="checkbox"/>	Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/>	Information disclosure statement	<input type="checkbox"/>	Letter to Draftsman	<input type="checkbox"/>	Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/>	Form 1449	<input type="checkbox"/>	Drawings	<input type="checkbox"/>	Status Letter
<input type="checkbox"/>	(6) Copies of References	<input type="checkbox"/>	Petition	<input checked="" type="checkbox"/>	Postcard
<input type="checkbox"/>	Extension of Time Request *	<input type="checkbox"/>	Fee Address Indication Form	<input type="checkbox"/>	Other Enclosure(s) (please identify below):
<input type="checkbox"/>	Express Abandonment	<input type="checkbox"/>	Terminal Disclaimer	<b>RECEIVED</b> <b>MAR 24 2003</b> <b>Technology Center 2100</b>	
<input type="checkbox"/>	Certified Copy of Priority Doc	<input type="checkbox"/>	Power of Attorney and Revocation of Prior Powers		
<input type="checkbox"/>	Response to Incomplete Appln	<input type="checkbox"/>	Change of Correspondence Address		
<input type="checkbox"/>	Response to Missing Parts	*Extension of Term: Pursuant to 37 CFR 1.136, Applicant petitions the Commissioner to extend the time for response for xxxxxx month(s), from to .			
<input type="checkbox"/>	Executed Declaration by Inventor(s)				

CLAIMS					
FOR	Claims Remaining After Amendment	Highest # of Claims Previously Paid For	Extra Claims	RATE	FEE
Total Claims	87	87	0	\$9.00	\$ 0.00
Independent Claims	4	4	0	\$42.00	\$ 0.00
				Total Fees	\$ 0.00
METHOD OF PAYMENT					
<input type="checkbox"/>	Check no. _____ in the amount of \$ _____ is enclosed for payment of fees.				
<input type="checkbox"/>	Charge \$ _____ to Deposit Account No. _____ (Account Holder Name) for payment of fees.				
<input checked="" type="checkbox"/>	Charge any additional fees or credit any overpayment to Deposit Account No. 02-2120 (Sawyer Law Group LLP).				

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Attorney Name	Michele Liu, Reg. No. 44,875
Signature	
Date	March 13, 2003
CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <b>March 13, 2003</b>	
Type or printed name	Grace Alicea
Signature	

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**MAR 28 2003**  
**TECHNOLOGY CENTER 2800**



CERTIFICATE OF MAIL

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on **March 13, 2003**.

Grace Alicea

#6  
IDS  
OSMA/BLG  
3/31/03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Date: March 13, 2003

Jenkin A. RICHARD et al.

Serial No.: 09/716,624

Group Art Unit: 2121

Filed: July 27, 2001

Examiner: To Be Assigned

For: OPTICAL ALIGNMENT ELEMENT METHOD

Assistant Commissioner of Patents  
Washington, D.C. 20231

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Technology Center 2100

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. §1.97

Sir:

Pursuant to 37 C.F.R. §1.97 and §1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. The Examiner is requested to make these documents of record. This Information Disclosure Statement is being submitted:

- ☒ With copies.
- ☐ Without copies. Copies of the documents were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial No. \*, filed \*. This protocol conforms with 37 C.F.R. §1.98(d) and M.P.E.P. 609 (A)(2).
- ☐ The documents listed on the attached Form PTO-1449 were cited in a Search Report directed to a counterpart international or foreign application.
- ☐ With the application; accordingly, no fee or separate requirements are required.

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MAR 28 2003

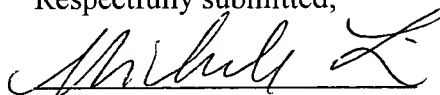
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- ☒ Within three months of the application filing date, or before mailing of a first Office Action on the merits.
  - ☐ After receipt of a first Office Action on the merits, but before the mailing date of a Final Office Action under §1.113, or a Notice of Allowance §1.311. Accompanied by one of:
    - ☐ Certification under 37 CFR §1.97(e); or
    - ☐ The fee set forth in §1.17(p)
  - ☐ After mailing of a final Office Action or Notice of Allowance, but on or before payment of the issue fee. Accompanied by:
    - ☐ Certification under 37 CFR §1.97(e); and
    - ☐ The fee set forth in §1.17(p)
  - ☐ A Certification under 37 C.F.R. §1.97(e) is provided below:
    - ☐ I hereby certify that each item of information was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- or-
- ☐ I hereby certify that no item of information was cited in a communication from a foreign patent office in a counterpart foreign application or, to the best of my knowledge after making a reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

If any unresolved issues remain, please contact Applicant's attorney at the telephone number indicated below. The Commissioner is hereby authorized to charge any fees associated with this communication, or credit any overpayment, to Deposit Account No. 02-2120 (Sawyer Law Group LLP).

March 13, 2003  
Date

Respectfully submitted,  
  
Michele Liu  
Attorney for Applicant(s)  
Reg. No. 44,875  
(650) 493-4540

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION  
DISCLOSURE STATEMENT

ATTY. DOCKET NO.

2200P

SERIAL NO.

09/716,624

APPLICANT:

Jenkin A. RICHARD et al.

FILING DATE:

July 27, 2001

GROUP:

2121

(Use separate sheets if necessary)

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPRO.)
		4 7 4 1 7 9 6	05/03/88	Althaus et al.			
		4 7 9 8 4 3 9	01/17/89	Preston			
		5 6 0 2 9 5 5	02/11/97	Haake			
		6 1 8 7 5 1 5	02/13/01	Tran et al.			
		6 1 9 6 2 2 6	03/06/01	Hochman et al.			

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## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

		Mobarhan, Kamran S. et al., "Fiber to Waveguide Alignment Algorithm," Application Note – Fiber to Waveguide Alignment Algorithm, Newport Corporation Worldwide Headquarters, No. 6, pp. 1-5.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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